

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of :  
Norio KIMURA et al. :  
Serial No. NEW : **Attn: APPLICATION BRANCH**  
Filed October 28, 2003 : Attorney Docket No. 2003-1482

POLISHING METHOD AND APPARATUS  
(Rule 1.53(b) Divisional  
of Serial No. 09/545,504,  
Filed April 7, 2000)

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**INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Pursuant to the provisions of 37 CFR 1.56, 1.97 and 1.98, Applicants request consideration of ☒ the references listed on attached form PTO-1449 and/or ☐ the additional information identified below in paragraph 3. A legible copy of each reference listed on the form PTO-1449 and each U.S. patent application listed below is enclosed, except a copy is not provided for each reference previously cited by or submitted to the Patent Office in prior parent application Serial No. 09/545,504.

1a. ☒ This Information Disclosure Statement is submitted:

within three months of the filing date (or of entry into the National Stage) of the above-entitled application, **or**

before the mailing of a first Office Action on the merits or the mailing of a first Office Action after the filing of an RCE,

**and thus no certification and/or fee is required.**

1b. ☐ This Information Disclosure Statement is submitted

after the events of above paragraph 1a and prior to the mailing date of a final Office Action or a Notice of Allowance or an action which otherwise closes prosecution in the application, and thus:

(1) ☐ the certification of paragraph 2 below is provided, **or**

(2) ☐ the fee of \$180.00 specified in 37 CFR 1.17(p) is enclosed.

1c. ☐ This Information Disclosure Statement is submitted:

after the mailing date of a final Office Action or Notice of Allowance or action which otherwise closes prosecution in the application, and prior to payment of the issue fee, and thus:

**the certification of paragraph 2 below is provided, and**

**the fee of \$180.00 specified in 37 CFR 1.17(p) is enclosed.**

2. It is hereby certified

a. ☐ that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the Statement, or

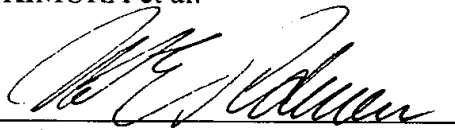
b. ☐ that no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing the certification after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three months prior to the filing of the Statement.

3. ☐ Consideration of the following list of additional information (including any copending or abandoned U.S. application, prior uses and/or sales, etc.) is requested.

4. For each non-English language reference listed on the attached form PTO-1449, reference is made to:
- a. ☐ a full or partial English language translation submitted herewith,
  - b. ☐ a foreign patent office search report (in the English language) submitted herewith,
  - c. ☐ the concise explanation contained in the specification of the present application at page ,
  - d. ☐ the concise explanation set forth in the attached English language abstract,
  - e. ☐ the concise explanation set forth below or on a separate sheet attached to the reference:
5. ☐ A foreign patent office search report citing one or more of the references is enclosed.

Respectfully submitted,

Norio KIMURA et al.

By 

Nils E. Pedersen

Registration No. 33,145

Attorney for Applicants

NEP/krp  
Washington, D.C. 20006-1021  
Telephone (202) 721-8200  
Facsimile (202) 721-8250  
October 28, 2003

THE COMMISSIONER IS AUTHORIZED  
TO CHARGE ANY DEFICIENCY IN THE  
FEES FOR THIS PAPER TO DEPOSIT  
ACCOUNT NO. 23-0975

FORM PTO 1449 (modified)

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICELIST OF REFERENCES CITED BY APPLICANT(S)  
(Use several sheets if necessary)

Date Submitted to PTO: October 28, 2003

ATTY DOCKET NO.  
2003-1482SERIAL NO.  
NEWAPPLICANT  
Norio KIMURA et al.FILING DATE  
October 28, 2003

GROUP

## U.S. PATENT DOCUMENTS

*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA	5,931,722	8/1999	Ohmi et al.			
	AB	5,635,053	6/1997	Aoki et al.			
	AC	5,676,760	10/1997	Aoki et al.			
	AD	5,922,620	7/1999	Shimomura et al.			
	AE	5,996,594	12/1999	Roy et al.			
	AF	6,003,527	12/1999	Netsu et al.			
	AG	6,071,816	6/2000	Watts et al.			
	AH	6,098,638	8/2000	Miyashita et al.			
	AI	6,325,698	12/2001	Wada et al.			

## FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO	
	AJ	6-260480	9-16-94	JAPAN			Abst.	
	AK	3-136329	6-11-91	JAPAN			Abst.	
	AL	64-90088	4-5-89	JAPAN			Abst.	
	AM	62-74487	4-6-87	JAPAN			Abst.	
	AN	10-314686	12-2-98	JAPAN			Abst.	
	AO	10-99802	4-21-98	JAPAN			Abst.	
	AP	2 324 750	11/1998	GB				
	AQ	0 913 442 A2	5/1999	EP			X	

## OTHER DOCUMENT(S) (Including Author, Title, Date, Pertinent Pages, Etc.)

	AR	Takeshi Hattori et al., "Sixth International Symposium on Cleaning Technology in Semiconductor Device Manufacturing", The Electrochemical Society, October 1999.					
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EXAMINER

DATE CONSIDERED

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of form with next communication to applicant.

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	AH						
	AI						

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		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO	
	AJ	0 806 265 A1	11/1997	EP			X	
	AK							
	AL							
	AM							
	AN							

## OTHER DOCUMENT(S) (Including Author, Title, Date, Pertinent Pages, Etc.)

	AO	Toshiaki Kawane et al., "NEC APPROACH", Semiconductor World, October 1998.
	AP	Takeshi Hattori et al., "Contamination Removal by Single-Wafer Spin Cleaning with Repetitive Use of Ozonized Water and Dilute HF", Sony Corporation Semiconductor Company, Japan, September 1998.
	AQ	Aoki et al., "A degradation-free Cu/HSQ damascene technology using metal mask patterning and post-CMP cleaning by electrolytic ionized water", Technical Digest, International Electron Devices Meeting (Dec. 7, 1997), pp. 31.1.1 through 31.4.4.

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